

03/26/01

JUO 2 U.S. PTO

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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

U S Patent and Trademark Office, U S DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **JW- EMC-007**First Inventor **TODD, STEPHEN J.**Title **TRANSLATOR COMPILER FOR CONVERTING  
LEGACY MANAGEMENT SOFTWARE**Express Mail Label No. **EF 004632382 US**03/26/01  
09/817437  
pro**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages **56**]  
*(preferred arrangement set forth below)*  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings *(if filed)*  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets **5** ]
5. Oath or Declaration [ Total Pages **2** ]  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*  
i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6.  Application Data Sheet. See 37 CFR 1.76

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*
- a.  Computer Readable Form (CRF)
- b. Specification Sequence Listing on:  
i.  CD-ROM or CD-R (2 copies); or  
ii.  paper
- c.  Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

- ✓ 9.  Assignment Papers (cover sheet & document(s))
10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*
11.  English Translation Document *(if applicable)*
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
16.  Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i) Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: .....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

 Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_ / \_\_\_\_\_

Prior application information

Examiner \_\_\_\_\_

Group Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label	Insert Customer No. or Bar Code Label Here			<input checked="" type="checkbox"/> Correspondence address below
Name	Robert L. DULANEY			
Address	EMC CORPORATION 35 PARKWOOD DRIVE			
City	HOPKINTON	State	MA	Zip Code 01748
Country	U.S.A.	Telephone	508-435-1000	Fax

Name (Print/Type)	JOEL WALL	Registration No. (Attorney/Agent)	25,648
Signature	Joel Wall		Date 3/26/01

Burden Hour Statement. This form is estimated to take 0 2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision

TOTAL AMOUNT OF PAYMENT

(\$ 2712 -

## Complete if Known

Application Number	503712-1	
Filing Date	MARCH 26, 2001	
First Named Inventor	TODD, STEPHEN J.	
Examiner Name		
Group Art Unit		
Attorney Docket No.	JW-EMC-007	

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number **05-0889**  
Deposit Account Name **EMC CORPORATION**

Charge Any Additional Fee Required  
Under 37 CFR 1 16 and 1 17

Applicant claims small entity status  
See 37 CFR 1 27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee
<b>SUBTOTAL (1) (\$)</b>				<b>710</b>

## 2. EXTRA CLAIM FEES

	Extra Claims	Fee from below	Fee Paid
Total Claims	89	-20** = 69 X 18 = 1242	
Independent Claims	12	-3*** = 9 X 80 = 720	
Multiple Dependent			

Large Entity Small Entity

Fee Code (\$)	Fee (\$)	Fee Code (\$)	Fee Description
103	18	203	9
102	80	202	40
104	270	204	135
109	80	209	40
110	18	210	9
<b>SUBTOTAL (2) (\$)</b>			

\*\*or number previously paid, if greater. For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee (\$)	Fee Description	Fee Paid
105	130	205	65 Surcharge - late filing fee or oath	
127	50	227	25 Surcharge - late provisional filing fee or cover sheet	
139	130	139	130 Non-English specification	
147	2,520	147	2,520 For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840* Requesting publication of SIR after Examiner action	
115	110	215	55 Extension for reply within first month	
116	390	216	195 Extension for reply within second month	
117	890	217	445 Extension for reply within third month	
118	1,390	218	695 Extension for reply within fourth month	
128	1,890	228	945 Extension for reply within fifth month	
119	310	219	155 Notice of Appeal	
120	310	220	155 Filing a brief in support of an appeal	
121	270	221	135 Request for oral hearing	
138	1,510	138	1,510 Petition to institute a public use proceeding	
140	110	240	55 Petition to revive - unavoidable	
141	1,240	241	620 Petition to revive - unintentional	
142	1,240	242	620 Utility issue fee (or reissue)	
143	440	243	220 Design issue fee	
144	600	244	300 Plant issue fee	
122	130	122	130 Petitions to the Commissioner	
123	50	123	50 Processing fee under 37 CFR 1 17(q)	
126	180	126	180 Submission of Information Disclosure Stmt	
581	40	581	40 Recording each patent assignment per property (times number of properties)	40
146	710	246	355 Filing a submission after final rejection (37 CFR § 1 129(a))	
149	710	249	355 For each additional invention to be examined (37 CFR § 1 129(b))	
179	710	279	355 Request for Continued Examination (RCE)	
169	900	169	900 Request for expedited examination of a design application	
Other fee (specify) _____				
*Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3) (\$)</b>
				<b>40</b>

## SUBMITTED BY

Complete if applicable

Name (Print/Type)	JOEL WALL	Registration No (Attorney/Agent)	251648	Telephone	508-435-4432
Signature	<i>Joel Wall</i>		Date	3-26-01	

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement This form is estimated to take 0 2 hours to complete Time will vary depending upon the needs of the individual case Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U S Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Washington, DC 20231

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of STEPHEN J. TODD et al )  
FOR: "TRANSLATOR-COMPILER FOR )  
CONVERTING LEGACY MANAGEMENT )  
SOFTWARE" )  
Docket Number: JW-EMC-007 )  
)

March 26, 2001

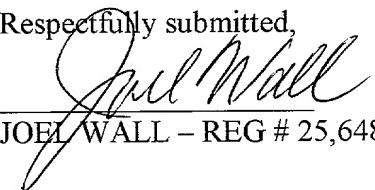
BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: NEW APPLICATIONS

Sir:

Enclosed herewith for filing is the above-captioned patent application. The following items are enclosed herewith:

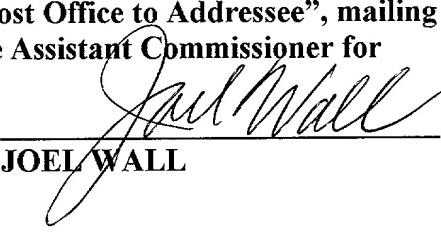
1. Utility Patent Application Transmittal Form PTO/SB/05
2. Fee Transmittal for FY 2000 Form PTO/SB/17 (in duplicate)
3. Executed Assignment of Patent Application (two pages) with Recordation Form Cover Sheet Form PTO-1619A
4. Request and Certification under 35 USC 122(b)(2)(B)(i)...PTO/SB/35
5. Patent Application – 56 pages total including claims and abstract
6. Executed Declaration (two pages) stapled to back of Patent Application
7. Drawings – five sheets with identification information on reverse sides
8. Return prepaid postcard

Respectfully submitted,

  
JOEL WALL – REG # 25,648

## CERTIFICATION UNDER 37 C.F.R. SECTION 1.16

I hereby certify that this New Application Transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on March 26, 2001 in an envelope as "Express Mail Post Office to Addressee", mailing Label Number EF004632382US, addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

  
JOEL WALL